



# Guru Gobind Singh Indraprastha University

Dwarka, Sector-16C, New Delhi-110078

Office of Director Academic Affairs

Ref. No.: GGSIPU/DAA/2021/3556<sup>L</sup>

Date: 28.06.2021

## NOTICE REGARDING CAS FOR UNIVERSITY TEACHERS

This is in compliance to the Notice dated 09.04.2021 regarding initiation of **Career Advancement Scheme (CAS)** for the University faculty as approved by the Competent Authority.

The University had adopted the UGC Regulations on minimum academic performance and service requirement for promotion under Career Advancement Scheme (CAS) 2010 which was adopted and incorporated by the University in the form of CAS Regulations 2013 in the 55<sup>th</sup> meeting of Board of Management (BOM) dated 24.09.2013 vide agenda item no 55.08.

Subsequently the 4<sup>th</sup> Amendment to the UGC Regulations 2010 was notified in 2016 and the same was adopted by the 44<sup>th</sup> meeting of Academic Council of the University held on 03.05.2018, vide agenda item no.44.21 which was subsequently approved in the 66<sup>th</sup> meeting of BOM dated 06.08.2018.

Subsequently the UGC notified UGC Regulations on minimum qualification for appointment of teachers and other academic staff in universities and colleges and measures for the maintenance of standards in higher education 2018. The UGC Regulations 2018 was adopted by the Academic Council in 45<sup>th</sup> meeting held on 19.03.2019 vide agenda item 45.11 which was subsequently approved by Board of Management in 68<sup>th</sup> meeting held on 5<sup>th</sup> April, 2019 vide agenda item 68.05.

Clause 6.3 and 6.3 (VII) of UGC Regulations of 2018, stipulate that for the pending cases of CAS, the concerned teachers may exercise appropriate options as regards the applicability of UGC Regulations of 2018 or the previously notified UGC Regulations. This option choice clause is applicable only till 17<sup>th</sup> July 2021, i.e., till three years from the date of notification of UGC Regulations 2018

*(Signature)*  
28/6/21

Within the framework as stated above the eligible teachers who are eligible or are likely to be eligible for promotion under the CAS scheme till **31<sup>st</sup> July, 2021** are advised to submit their applications to the respective Deans latest by **16<sup>th</sup> August, 2021** for consideration/screening at the school level.

For the ease of the concerned teachers the following general guidelines are stated for submitting the application form under the CAS scheme:

1. The teachers are advised to carefully read all the UGC Regulations (i.e. UGC Regulations 2010 with the amendments till 2016) the University CAS Regulation of 2013 and the UGC Regulations of 2018.
2. Each of the application for CAS should be submitted with a duly signed covering letter addressed to the respective Deans with the filled in performa as applicable for the concerned teachers with all the relevant and supporting documents.
3. Clause [6.3] and 6.3 (VII) of UGC Regulation 2018 provides for exercise of option by the concerned teacher as to the applicability of UGC Regulations. The teachers are advised to carefully read the relevant Regulations and exercise their options explicitly in the duly signed covering letter of the applications.
4. In cases where the teachers have opted for applicability of UGC Regulations of 2018 they should fill the application form and the prescribed Annexure-I, II and III attached herewith. In all other cases where teachers do not opt for consideration under the UGC Regulations 2018, the CAS application in the Performa as provided in CAS Regulations 2013 of the University should be filled up. Wherever, the substantive provisions of the CAS Regulations 2013 of the University are inconsistent with the subsequent applicable UGC Regulations as adopted by the University, the later shall be given effect.
5. All applications submitted for consideration under the CAS scheme shall be considered as per the procedure prescribed in CAS Regulation 2013 of the University, however, if there is any inconsistency with the subsequent UGC Regulations and amendments thereof, the later shall prevail.

*(Sharma)*  
28/6/21



6. The teachers who have applied earlier and their promotion is pending, should collect the old applications from the O/o Director, Academic Affairs and apply afresh with updated information, if any, in terms of applicable Regulations/opted Regulations of the UGC.
7. These guidelines are general in nature, based on broad understanding of the applicable UGC Regulations and the University Rules and Regulations. For further clarifications, if any, O/o Director, Academic Affairs may be consulted.



(Prof. P C Sharma)  
Director, Academic Affairs

**Enclosures:**

1. Application Form for CAS [2021]
2. Annexure-1 [2018] Eligibility Criteria
3. Annexure-II [2018] Assesment Criteria and Methodology for University Teachers
4. Annexure-III [2018] Methodology for University Teachers for calculating Academic/Research Score
5. CAS Regulation 2013 of the University [may be downloaded from University Website: <http://www.ipu.ac.in/norms/CAS051216.pdf>]
6. UGC Regulations of 2018 [may be downloaded from the UGC Website: [https://www.ugc.ac.in/pdfnews/4033931\\_UGC-Regulation\\_min\\_Qualification\\_Jul2018.pdf](https://www.ugc.ac.in/pdfnews/4033931_UGC-Regulation_min_Qualification_Jul2018.pdf)]
7. UGC Regulations of 2016 [may be downloaded from the UGC Website: [https://www.ugc.ac.in/pdfnews/3375714\\_API-4th-Amentment-Regulations-2016.pdf](https://www.ugc.ac.in/pdfnews/3375714_API-4th-Amentment-Regulations-2016.pdf)]

**Copy to:**

1. All Deans of University School of Studies
2. Director CEPS/CDMS/Coordination/Legal Aid/Research and Consultancy/International Affairs/ Students' Welfare/ Development
3. Joint Registrar, Personnel Branch
4. PS to the Hon'ble Vice Chancellor for information please.
5. PS to Registrar for information please.
6. Head, UITS with the request to upload the notice on the University website.
7. Office copy

**APPLICATION [2021]**

Application form for promotion under UGC Career Advancement Scheme in accordance with University Grants Commission Regulations on Minimum Qualification for Appointment of Teachers and Other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education 2018, notified vide Gazette Notification No. F.1-2/2017 (EC/PS) dated 18.07.2018.

**University School/Centre:**

Application for Promotion from  
(Stage/Designation and Academic Level) to (Stage/Designation and Academic Level)

Assessment Period for Promotion: From \_\_\_\_\_ to \_\_\_\_\_

1	Name (in Block Letters)	
2	Father's Name/Mother's Name	
3	Date and Post of Joining service at University and Employee Code	
4	Date of Last Promotion with Post/Grade promoted to with U.O. Reference	
5	Present Designation and Grade pay/Academic Level	
6	Date of eligibility for promotion	
7	Permanent Address with PINCODE	
8	Address for Communication with PINCODE	
9	Phone numbers Office Residence Mobile Email	

10. Academic Qualifications:

Qualification	Subjects/ Specialization	University/ Board	Duration of Study from- to dates	Date of award	% of marks obtained
Masters Degree					
M.Phil*					
Ph.D.*					
D.Sc./D.Litt.*					
Other Qualifications (if any)					

\*In case of M.Phil/Ph.D/ D.Sc/D.Litt., an attested copy of the degree & result notification for the same is to be attached.

11. Record of academic service prior to joining the University (please attach relevant experience certificates)

Institution/ Organization	Designation	Essential qualifications for the post at the time of appointment	Nature of appointment (Regular/Fixed term/ Temporary/ Ad-hoc)	Nature of Duties (Teaching/ research/ Others)	Pay-Scale	Date of Joining and Date of leaving	Reasons of Leaving.

12. Record of Service in the University

Designation	Essential qualifications for the post at the time of appointment	Nature of Appointment (Regular/ Contract / Temporary/ Ad-hoc/ Guest)	Nature of Duties (Teaching/, Research/ Guidance of Research/ Administration)	Pay-Scale	Duration from- to dates	Total period Yr. M. Days

13. Period of teaching Experience:

P.G. Classes (in Years and months)

U.G. Classes ( in Years and months)

14. Research Experience excluding years spent in M.Phil /Ph.D. (in Years and months)



15. Fields of Specialization under the Subject/Discipline

16. Any other relevant information:

**Declaration**

**I certify that the information provided is correct as per records available with the University and/or documents enclosed herein with this filled in Application and Annexure I, II & III.**

Name and Signature

Place: \_\_\_\_\_

Date: \_\_\_\_\_

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FOR USE BY  
O/o Dean University School/Director of University Centre

Specific Remarks if any:

VERIFIED AND COUNTERSIGNED

Place

Director of Centre/Head of the Department

Date:

(Office Stamp)

**Assistant Professor (Academic Level 10) to Assistant Professor (Senior Scale/Academic Level 11)****(Eligibility Criteria)****as per**

**University Grants Commission Regulations on Minimum Qualification for Appointment of Teachers and Other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education 2018, notified vide Gazette Notification No. F.1-2/2017 (EC/PS) dated 18.07.2018**

S.No.	Eligibility Criteria	Details of Supporting Documents with Annexures, if any	Eligibility Claimed	Remarks by the Screening Committee
1.	(i) Completed four years of service with a Ph.D. degree or five years of service with a M.Phil. / PG Degree in Professional Courses, such as LLM, M.Tech, M.V.Sc. and M.D., or six years of service in case of those without a Ph.D./M.Phil./ PG Degree in a Professional course			
	(ii) Attended one Orientation course of 21 days duration on teaching methodology;			
	(iii) Any one of the following: Completed Refresher/ Research Methodology Course/ Workshop/ Syllabus Up-gradation Workshop/ Training Teaching-Learning-Evaluation, Technology Programmes/ Faculty Development Programmes of at least one week (5 days) duration, or taken one MOOCs course (with e-certification) or development of e-contents in four-quadrants / MOOC's course during the			

S.No.	Eligibility Criteria	Details of Supporting Documents with Annexures, if any	Eligibility Claimed	Remarks by the Screening Committee
	assessment period; and			
	(iv) Published one research publication in the peer-reviewed journals or UGC-listed journals during assessment period.			

**Assistant Professor (Senior Scale/Academic Level 11) to Assistant Professor (Selection Grade/Academic Level 12)**  
**Eligibility Criteria**

S.No.	Eligibility Criteria	Supporting Documents	Eligibility Claimed	Remarks by the Screening Committee
1.	(i) Assistant Professors who has completed five years of service in Academic Level 11/Senior Scale			
	(ii) A Ph.D. Degree in the subject relevant/allied/relevant discipline			
	(iii) Has done any two of the following in the last five years of Academic Level 11/Senior Scale: Completed a course / programme from amongst the categories of Refresher Courses/Research Methodology/ Workshops/ Syllabus Up-gradation Workshop/ Teaching-Learning-Evaluation/ Technology Programmes / Faculty Development Programme of at least two weeks (ten days) duration (or completed two courses of at least one week (five days) duration in lieu of every single course/programme of at least two weeks (ten days) duration), or, completed one MOOCs course in the relevant subject (with e-certification); or contribution			



S.No.	Eligibility Criteria	Supporting Documents	Eligibility Claimed	Remarks by the Screening Committee
	towards the development of e-content in 4-quadrant (at least one quadrant) minimum of 10 modules of a course/contribution towards the development of at least 10 modules of MOOCs course/ contribution towards conduct of a MOOCs course during the period of assessment.			
	(iv) Published three research papers in the peer-reviewed journals or UGC-listed journals during assessment period.			

**Assistant Professor (Selection Grade/Academic Level 12) to Associate Professor (Academic Level 13A)**

**Eligibility Criteria**

S.No.	Eligibility Criteria	Supporting Documents	Eligibility Claimed	Remarks by the Screening Committee
1.	(i) Assistant Professor who has completed three years of service in Academic Level 12/ Selection grade.			
	(ii) A Ph.D Degree in the subject concerned/allied/relevant discipline.			
	(iii) Any one of the following during last three years: completed one course / programme from amongst the categories of Refresher Courses/ Research Methodology Workshops/Syllabus Up-gradation Workshop/ Teaching-Learning-Evaluation Technology Programme/ Faculty Development Programme of at least two weeks (ten days) duration (or completed two courses of at least one week (five days) duration in lieu of every single course/programme of at least two weeks (ten days) duration); or completed one MOOCs course (with ecertification); or contribution towards the development of e-content in 4-quadrant (at least one quadrant) minimum of 10 modules of a course/contribution towards development of at least 10 modules of MOOCs course/ contribution towards conduct of a MOOCs			

S.No.	Eligibility Criteria	Supporting Documents	Eligibility Claimed	Remarks by the Screening Committee
	course during the period of assessment.			
	(iv) A minimum of seven publications in the peer-reviewed or UGC-listed journals out of which three research papers should have been published during the assessment period.			
	(v) Evidence of having guided at least one Ph.D. candidate.			

**Associate Professor (Academic Level 13A) to Professor (Academic Level 14)**

**Eligibility Criteria**

S.No.	Eligibility Criteria	Supporting Documents	Eligibility Claimed	Remarks by the Screening Committee
1.	(i) An Associate Professor who has completed three years of service in Academic Level 13 A.			
	(ii) A Ph.D Degree in the subject concerned/allied/relevant discipline.			
	(iii) A minimum of ten research publications in the peer- reviewed or UGC-listed journals out of which three research papers should have been published during the assessment period.			
	(iv) Evidence of having successfully guided doctoral candidate.			
	(v) A minimum of 110 Research Score as per Appendix II, Table 2.			

Table 1

## Assessment Criteria and Methodology for University Teachers

For the Assessment period \_\_\_\_\_

as per

University Grants Commission Regulations on Minimum Qualification for Appointment of Teachers and Other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education 2018, notified vide Gazette Notification No. F.1-2/2017 (EC/PS) dated 18.07.2018

S.No	Activity	Details of Supporting Documents with Annexures, if any	Claimed Grading	Awarded Grading
1.	<p>Teaching: (Number of classes taught/total classes assigned) x100%</p> <p>(Classes taught includes sessions on tutorials, lab and other teaching related activities)</p> <p>[80% &amp; above - Good Below 80% but 70% &amp; above- Satisfactory Less than 70% - Not satisfactory]</p>			
2.	Involvement in the University/College students related activities/research activities:			
	(a) Administrative responsibilities such as Head, Chairperson/ Dean/ Director/ Co-ordinator, Warden etc.			
	(b) Examination and evaluation duties assigned by the college / university or attending the examination paper evaluation.			



S.No	Activity	Details of Supporting Documents with Annexures, if any	Claimed Grading	Awarded Grading
	(c) Student related co-curricular, extension and field based activities such as student clubs, career counselling, study visits, student seminars and other events, cultural, sports, NCC, NSS and community services.			
	(d) Organising seminars/ conferences/ workshops, other college/university activities.			
	(e) Evidence of actively involved in guiding Ph.D students.			
	(f) Conducting minor or major research project sponsored by national or international agencies.			
	(g) At least one single or joint publication in peer- reviewed or UGC list of Journals.			

S.No	Activity	Details of Supporting Documents with Annexures, if any	Claimed Grading	Awarded Grading
<p><b>Overall Grading:</b></p> <p><b>Good:</b> Good in teaching and satisfactory or good in activity at Sl.No.2. Or</p> <p><b>Satisfactory:</b> Satisfactory in teaching and good or satisfactory in activity at Sl.No.2.</p> <p><b>Not Satisfactory:</b> If neither good nor satisfactory in overall grading</p> <p><b>Note:</b> For the purpose of assessing the grading of Activity at Serial No. 1 and Serial No. 2, all such periods of duration which have been spent by the teacher on different kinds of paid leaves such as Maternity Leave, Child Care Leave, Study Leave, Medical Leave, Extraordinary Leave and Deputation shall be excluded from the grading assessment. The teacher shall be assessed for the remaining period of duration and the same shall be extrapolated for the entire period of assessment to arrive at the grading of the teacher. The teacher on such leaves or deputation as mentioned above shall not be put to any disadvantage for promotion under CAS due to his/her absence from his/her teaching responsibilities subject to the condition that such leave/deputation was undertaken with the prior approval of the competent authority following all procedures laid down in these regulations and as per the acts, statutes and ordinances of the parent institution.</p>				



Table 2

**Methodology for University Teachers for calculating Academic/Research Score**

(Assessment must be based on evidence produced by the teacher such as: copy of publications, project sanction letter, utilization and completion certificates issued by the University and acknowledgements for patent filing and approval letters, students' Ph.D. award letter, etc.,)

For the Assessment period \_\_\_\_\_

as per

University Grants Commission Regulations on Minimum Qualification for Appointment of Teachers and Other Academic Staff in Universities and Colleges and Measures for the Maintenance of Standards in Higher Education 2018, notified vide Gazette Notification No. F.1-2/2017 (EC/PS) dated 18.07.2018

S.No	Academic/Research Activity	Details of Supporting Documents with Annexures, if any	Claimed Score	Awarded Score
1	Research Papers in Peer-Reviewed or UGC listed Journals			
2	Publications (other than Research papers)			
	(a) Books authored which are published by ;			
	International publishers			
	National Publishers			
	Chapter in Edited Book			
	Editor of Book by International Publisher			
	Editor of Book by National Publisher			



S.No	Academic/Research Activity	Details of Supporting Documents with Annexures, if any	Claimed Score	Awarded Score
	<b>(b) Translation works in Indian and Foreign Languages by qualified faculties</b>			
	Chapter or Research paper			
	Book			
<b>3</b>	<b>Creation of ICT mediated Teaching Learning pedagogy and content and development of new and innovative courses and curricula</b>			
	<b>(a) Development of Innovative pedagogy</b>			
	<b>(b) Design of new curricula and courses</b>			
	<b>(c) MOOCs</b>			
	Development of complete MOOCs in 4 quadrants (4 credit course)(In case of MOOCs of lesser credits 05 marks/credit)			
	MOOCs (developed in 4 quadrant) per module/lecture			
	Content writer/subject matter expert for each module of MOOCs (at least one quadrant)			
	Course Coordinator for MOOCs (4 credit course)(In case of MOOCs of lesser credits 02 marks/credit)			
	<b>(d) E-Content</b>			
	Development of e-Content in 4 quadrants for a complete course/e-book			
	e-Content (developed in 4 quadrants) per module			
	Contribution to development of e-content module in complete course/paper/e-book (at least one quadrant)			
<b>4</b>	<b>(a) Research guidance</b>			
	Ph.D.			
	M.Phil./P.G dissertation			
	<b>(b) Research Projects Completed</b>			
	More than 10 lakhs			
	Less than 10 lakhs			
	<b>(c) Research Projects Ongoing :</b>			
	More than 10 lakhs			



S.No	Academic/Research Activity	Details of Supporting Documents with Annexures, if any	Claimed Score	Awarded Score
	Less than 10 lakhs			
	<b>(d) Consultancy</b>			
<b>5</b>	<b>(a) Patents</b>			
	International			
	National			
	<b>(b) *Policy Document (Submitted to an International body/organisation like UNO/UNESCO/World Bank/International Monetary Fund etc. or Central Government or State Government)</b>			
	International			
	National			
	State			
	<b>(c) Awards/Fellowship</b>			
	International			
	National			
<b>6</b>	<b>*Invited lectures / Resource Person/ paper presentation in Seminars/ Conferences/full paper in Conference Proceedings (Paper presented in Seminars/Conferences and also published as full paper in Conference Proceedings will be counted only once)</b>			
	International (Abroad)			
	International (within country)			
	National			
	State/University			
<b>Total Score</b>				

**The Research score for research papers would be augmented as follows :**

Peer-Reviewed or UGC-listed Journals (Impact factor to be determined as per Thomson Reuters list) :

- |      |                                                  |   |           |
|------|--------------------------------------------------|---|-----------|
| i)   | Paper in refereed journals without impact factor | - | 5 Points  |
| ii)  | Paper with impact factor less than 1             | - | 10 Points |
| iii) | Paper with impact factor between 1 and 2         | - | 15 Points |
| iv)  | Paper with impact factor between 2 and 5         | - | 20 Points |
| v)   | Paper with impact factor between 5 and 10        | - | 25 Points |
| vi)  | Paper with impact factor >10                     | - | 30 Points |

a) Two authors: 70% of total value of publication for each author.

b) More than two authors: 70% of total value of publication for the First/Principal/Corresponding author and 30% of total value of publication for each of the joint authors.

c)

Joint Research Projects: Principal Investigator and Co-investigator would get 50% each

**Note:**

- Paper presented if part of edited book or proceeding then it can be claimed only once.
- For joint supervision of research students, the formula shall be 70% of the total score for Supervisor and Co-supervisor. Supervisor and Co-supervisor, both shall get 7 marks each.
- \*For the purpose of calculating research score of the teacher, the combined research score from the categories of 5(b). Policy Document and 6. Invited lectures/Resource Person/Paper presentation shall have an upper capping of thirty percent of the total research score of the teacher concerned.
- The research score shall be from the minimum of three categories out of six categories.